

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

ATTORNEY DOCKET NUMBER IN-5530	U.S. APPLICATION NO. (IF KNOWN, SEE 37 RR 15) 10/018336	
INTERNATIONAL APPLICATION NO. PCT/EP00/03355	INTERNATIONAL FILING DATE 13 April 2000 (13.04.00)	PRIORITY DATE CLAIMED 08. May 1999 (08.05.99)

TITLE OF INVENTION: **AQUEOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME**

APPLICATION(S) FOR DO/EO/US: **Bernhard LETTMANN**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371 (b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ are transmitted herewith (required only if not transmittal by the International Bureau).
 - b. ☒ have been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(C)(2)).
7. ☒ Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annex to the International Preliminary Examination Report under PCT Article 36


Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A Change of power of attorney and/or address letter.
16. ☒ Other items or information:

**A copy of the cover sheet from the PCT Published Application
A copy of the cover sheet from the Priority Document**

I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. **ET332279046US** addressed to the Commissioner for Patents, Washington, D.C. 20231 on October 30, 2001

Marjorie Ellis
Marjorie Ellis

U.S. APPLICATION NO. (If known see 37 C.F.R. 1.50)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/018336		PCT/EP00/03355		IN-5530	
17. <input checked="" type="checkbox"/> The following fees are submitted				CALCULATIONS PTO USE ONLY	
Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO.....				\$1,040.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....				\$890.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO.....				\$690.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....				\$670.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)				\$ 100.00	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$890.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
Claims	Number Filed	Number Extra	Rate		
Total Claims	41 - 20 =	21	X \$18.00	\$378.00	
Independent claims	03 - 03 =	0	X \$80.00	\$	
Multiple dependent claims(s) (if applicable)			+ \$270.00	\$	
TOTAL OF ABOVE CALCULATION =				\$1,268.00	
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	
SUBTOTAL =				\$1,268.00	
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$1,268.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$1,308.00	
				Amount to be: \$	
				Charged \$1,308.00	
<p>a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>23-3425</u> in the amount of <u>\$1,308.00</u> to cover the above fees A triplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>23-3425</u>. A triplicate copy of this sheet is enclosed.</p> <p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p>					
SEND ALL CORRESPONDENCE TO: BASF CORPORATION Patent Department 26701 Telegraph Road Southfield, Michigan 48034-2442 (248) 948-2355 Customer No. 26922			 SIGNATURE Michael F. Morgan Name 42,906 REGISTRATION NUMBER		

PATENT

(Practitioner's Docket No. IN-5530)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernhard LETTMANN

US Serial No. Herewith

Filed: October 30, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: AQUEOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME
Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE"Express Mail" label number ET332279046US

Date of Deposit

October 30, 2001

I hereby certify that the following attached paper or fee

☒ German Application PCT/EP00/03355

Specification on	<input type="text" value="74"/>	pages;	claims on	<input type="text" value="10"/>	pages;
the abstract on	<input type="text" value="01"/>	page(s);	drawings on	<input type="text"/>	page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) **be signed** and (2) **fully identify and be securely attached to the paper or fee it accompanies**. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5530)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernhard LETTMANN

US Serial No. Herewith

Filed: October 30, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: AQUESOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME
Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET332279046US Date of Deposit October 30, 2001

I hereby certify that the following attached paper or fee

☒ Combined Declaration and Power of Attorney

☐ 02 Page(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g. complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5530)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernhard LETTMANN

US Serial No. Herewith

Filed: October 30, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: AQUEOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME
Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET332279046US Date of Deposit October 30, 2001

I hereby certify that the following attached paper or fee

☒ Cover page of Published PCT-application

☐ 01 Page(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5530)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernhard LETTMANN

US Serial No. Herewith

Filed: October 30, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: AQUEOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME
Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number **ET332279046US** Date of Deposit **October 30, 2001**

I hereby certify that the following attached paper or fee

<input checked="" type="checkbox"/>	Information Disclosure Statement
<input checked="" type="checkbox"/>	From PTO-1449
<input checked="" type="checkbox"/>	Cited References
<input checked="" type="checkbox"/>	International Search Report

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) **be signed** and (2) **fully identify and be securely attached to the paper or fee it accompanies**. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5530)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernhard LETTMANN

US Serial No. Herewith

Filed: October 30, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: AQUEOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME
Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET332279046US

Date of Deposit October 30, 2001

I hereby certify that the following attached paper or fee

☒ English Application PCT/EP00/03355
Specification on 99 pages; claims on 12 pages;
the abstract on 01 page(s); drawings on page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

PATENT

(Practitioner's Docket No. IN-5530)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Bernhard LETTMANN

US Serial No. Herewith

Filed: October 30, 2001

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: AQUEOUS COATING MATERIAL AND MODULAR SYSTEM FOR PRODUCING SAME
Assistant Commissioner of Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number ET332279046US Date of Deposit October 30, 2001

I hereby certify that the following attached paper or fee

☒ Cover page of Priority Document

☐ 01 Page(s)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)


Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. :

U.S. National Serial No. :

Filed :

PCT International Application No. : PCT/EP00/03355

VERIFICATION OF A TRANSLATION

I, the below named translator, hereby declare that:

My name and post office address are as stated below;

That I am knowledgeable in the German language in which the below identified international application was filed, and that, to the best of my knowledge and belief, the English translation of the international application No. PCT/EP00/03355 is a true and complete translation of the above identified international application as filed.

I hereby declare that all the statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the patent application issued thereon.

Date: October 5, 2001



Full name of the translator :

Andrew Harvey David SUMPTER

For and on behalf of RWS Group plc

Post Office Address :

Europa House, Marsham Way,
Gerrards Cross, Buckinghamshire,
England.